Research Administration Systems Service Level Expectation

This document represents the Service Level Expectation (SLE) for the Washington University Information Technology (WashU IT) Research Administration Systems Service. The purpose of this agreement is to ensure that this service meets customer expectations and to define the roles/responsibilities of each party. The SLE outlines the following:

- Service Overview
- Service Warranty
- Service Roles & Responsibilities
- Service Features (included & excluded)
- Service Reporting & Metrics
- Service Review, Bundles & Pricing

Each section provides service and support details specific to Research Administration Systems, as well as outlining WashU IT’s general support model for all services and systems.

Service Overview

The Research Administration Systems service is intended for use by Department Administrators, University Central Administration, and Faculty. The service is comprised of the following features:

- Conflict of Interest Administration
- Compliance Management
- Grant Proposal Preparation and Submission
- Award Management
- Sub Award Management
- Human Subjects Education Interface
- Personnel Activity Reporting
- Portal Access to Research affiliated systems (Research Gateway)
- Non-Employee Access Credentialing
- Rent for Space Tracking
- Federal Funding Accountability Transparency Act

Service Features

The table below is intended to provide a detailed look at each of the sub-services that comprise the Research Administration Systems Service. Each section in the table defines the sub-service features that are included or excluded within each sub-service.

<table>
<thead>
<tr>
<th>Included in Service</th>
<th>Excluded from Service</th>
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<tbody>
<tr>
<td><strong>Conflict of Interest</strong></td>
<td>• Direct Customer support of the Business Process</td>
</tr>
<tr>
<td>• Financial Disclosure Statement Preparation and submission</td>
<td>• Training</td>
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<tr>
<td>• Financial Disclosure Review Preparation and Outcome</td>
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<tr>
<td>• Baseline access to Financial Disclosures for all users</td>
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<tr>
<td>• Troubleshooting of Software Issues</td>
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<tr>
<td>• Payment for Software Licensing, Maintenance and Upgrade Support</td>
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</table>
- Installation, Configuration and Upgrades of PeopleSoft Software
- Programming resources for fixes and enhancements as prioritized by governance.

**Compliance Management**
- Historical View of Compliance Related data.
- PERCSS Subscription Data Feed to Learn@Work
- Financial Disclosure Statement Subscription Data Feed to Learn@Work
- Travel Notifications List Generation and Emailing via Maestro Software
- Payment for Software Licensing, Maintenance and Upgrade Support
- Installation, Configuration and Upgrades of PeopleSoft Software
- Troubleshooting of Software Issues
- Programming resources for fixes and enhancements as prioritized by governance.

**Proposal Preparation and Submission**
- Data Capture and maintenance for Grant Proposals
- Limited NIH/NSF required and optional forms support
  - Attachments
  - NASA_OtherProjInfo
  - NSF_CoverPage_1_3
  - NSF_DeviationAuthorization
  - NSF_SuggestedReviewers
  - PHS398_CareerDevelopmentAwardSup_3_0
  - PHS398_Checklist_1_3
  - PHS398_CoverLetter
  - PHS398_CoverPageSupplement_3_0
  - PHS398_CumulativeInclusionReport
  - PHS398_ModularBudget_1_2
  - PHS298_ResearchPlan_3_0
  - PHS_AssignmentRequestForm
  - PHS_CoverLetter_1_2
  - PHS_Inclusion_Enrollment_Report
  - PerformanceSite_2_0
  - PlannedReport
  - RR_Budget_1_3
  - RR_FedNonFedBudget
  - RR_KeyPersonExpanded_2_0
  - RR_LobbyingActivities(SFLLL)
  - RR_OtherProjectInfo_1_3
  - RR_PersonalData_1_2
  - RR_SF424_2_0
  - SBIR_STTR_Information

**Direct Customer support of the Business Process**
- Training
- Grants.gov opportunity download and submission interface
- Proposal routing and approval
- Proposal Awarding
- Proposal Tracking
- Nightly Data Feeds to Focus and Data Warehouse
- Payment for Software Licensing, Maintenance and Upgrade Support
- Installation, Configuration and Upgrades of PeopleSoft Software
- Installation, Configuration, and upgrades of DynamicPDF Software.
- Troubleshooting of Software Issues
- Programming resources for fixes and enhancements as prioritized by governance.

<table>
<thead>
<tr>
<th>Award Management</th>
<th>Direct Customer support of the Business Process</th>
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<td>Training</td>
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<table>
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<tr>
<th>Sub Award Management</th>
<th>Direct Customer support of the Business Process</th>
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<td>Training</td>
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<tr>
<th>Human Subjects Education Interface</th>
<th>Direct Customer support of the Business Process</th>
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<tbody>
<tr>
<td></td>
<td>Training</td>
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- Data Capture and Maintenance for Awards
- Finance System Interface
- Proposal Development System Interface
- Payment for Software Licensing, Maintenance and Upgrade Support
- Installation, Configuration and Upgrades of PeopleSoft Software
- Troubleshooting of Software Issues
- Programming resources for fixes and enhancements as prioritized by governance.
- Programming resources for fixes and enhancements as prioritized by governance.
- CITI Completions Data Feed to HRPO for loading into myIRB

### Personnel Activity Reporting
- Installation, Configuration and Upgrades of ECRT Vendor Software
- Troubleshooting of Software issues
- Vendor Liaison
- Nightly Loads of data from source systems
- Subject Matter Expertise with regards to software functionality
- HTML tagging for content
- Training Environment
  - Software Installation, Configuration and upgrade
  - Training Data Development
  - Training Data Refreshes
- Data Integrity Verification
- Troubleshooting of Software Issues

### Portal Access to Affiliated Research Systems
- Provide Website with Single Sign On Capabilities to Research affiliated systems.
- Troubleshooting of Software Issues
- Programming resources for fixes and enhancements as prioritized by governance.
- Payment for Software Licensing, Maintenance and Upgrade Support

### Non-Employee Access Credentialing
- Functionality to create user access to RAS for Non-Employees
- Programming resources for fixes and enhancements as prioritized by governance.
- Department Org Structure Data Feed to Learn@Work for Non-employees
- Non-Employee ID Data Feed to Learn@Work for credentialing
- Integration with the Identity Management system for WUSTL Key Generation
- Non-Employee ID Merge Functionality

### Rent for Space Tracking
- Functionality to capture data about the type of space that a Medical School research expense account is associated with
- Programming resources for fixes and enhancements as prioritized by governance.
- Direct Customer support of the Business Process
- Content development for emails and other text within the application
- User Training
- User communication regarding the Business Process
- Payment for Software Licensing, Maintenance and upgrade support
- Nightly data feed to Medical School Finance office
- Programming resources for fixes and enhancements as prioritized by governance.
- Payment for Software Licensing, Maintenance and Upgrade Support

**Federal Funding Accountability Transparency Act**
- Functionality to combine award, financial, procurement and sub award data into a single reporting system.
- Functionality allow for data entry of federally required data elements not captured in any of the source systems (FIS, SUBS, Purchasing, APS)
- Nightly Data Loads to system on Business Days.
- Programming resources for fixes and enhancements as prioritized by governance.
- Payment for Software Licensing, Maintenance and Upgrade Support

- Uploading/Entry of data in Federal Reporting website
Service Warranty
This section describes the support structure in place for all WashU IT services and any unique warranties and specialized support associated with the Research Administration Systems service.

Support Model
WashU IT has established technology services and systems to meet customer objectives in support of the University’s mission. To ensure IT services and systems meet customer needs, WashU IT has established the following support model:

General Support

1. **One Contact Point** - to initiate any support or service request call, email or make a web request.
   - Call: 314-933-3333 to initiate any support or service request.
   - Email: ithelp@wustl.edu initiate any support or service request.
   - Web Request: [http://it.wustl.edu](http://it.wustl.edu)

2. **All Requests Documented** – a support or service ticket is created for each customer request. All support and service requests are tracked in one service management system (called ServiceNow) for easy tracking and resolution across WashU IT.

3. **Virtual and Onsite Support** – standard support and service requests (85%) will be handled via routine procedures by service center staff via virtual support technologies like phone, remote desktop assistance and instant messaging. Standard support and service requests that cannot be resolved by the service center will be routed to technicians who will meet with the customer to bring the request to resolution. Non-standard support and service requests will be routed to WashU IT managers for consultation with the customer to address the request.

4. **Service and Process Owners** – individual WashU IT staff have been named as Service Owners or Process Owners to ensure accountability for WashU IT services and processes. Service Owners work with established WashU IT Governance committees and customers to ensure WashU IT services are scoped, resourced and supported in a manner that allows the service to stay healthy across the lifecycle of its use at the University. Process Owners work with WashU IT managers and Service Owners to ensure WashU IT has established procedures for meeting customer support and service requests.

5. **Customer Relationship Management** – regular meetings will be established with each customer department by WashU IT’s Customer Relationship Management (CRM) team. These regular meetings will address quality of services provided, identify new customer projects/initiatives requiring WashU IT services and inform customers of any planned changes to existing IT services. Reports from these meetings are reviewed by WashU IT leadership on a regular basis to ensure customer satisfaction is met and to identify customer needs that should be addressed via new technology services or enhancement of existing services.
Support Hours and Initial Response Times

WashU IT has established the following general support hours and initial response times to meet customer support and service request needs. Note that CRITICAL support and service requests are defined as technology issues affecting the customer’s ability to perform urgent university business without an acceptable technology workaround in place.

**Standard**

**Business Hours:** 7 am – 5:30 pm (M – F) during regular campus business days

**Initial Response Times:** ANY support or service request will be responded to within the following times.

- Calls to 933-3333 - 80% answered in 20 seconds or less
- Emails sent to ithelp@wustl.edu will be responded to as outlined in the “Support Request Resolution Targets” section below.
- Web Requests made via the ServiceNow “report an issue” form will be responded to as outlined in the “Support Request Resolution Targets” section below.

**Extended**

**After Hours:** any time or day not within standard business hours

**Initial Response Times:** CRITICAL support or service requests will be responded to within the following times.

- Calls to 933-3333 after hour calls will be answered by the WashU IT Systems Operations Center (SOC). The SOC will either resolve the issue or page on call staff to resolve the issue. On call staff will respond to the after hour pager on average* within 30 minutes

**Note** – non-CRITICAL support or service requests will be responded to within standard business hours and response times.

*averages are calculated on a monthly basis
Support Request Resolution Targets
WashU IT has established the following general support escalation procedures and resolution targets to meet customer support request needs. Note that service request fulfillment is addressed in a latter section titled “Service Fulfillment Targets”. This section is only addressing support escalation and resolution.

**Support Escalation & Resolution Procedures** – all support requests will be escalated from the initial general support team to a specialized support team based on the priority of the support request or if the general support team cannot resolve the issue within 20 minutes. Once the request is escalated to a specialized support team, the customer will be notified and the specialized support team may contact the customer for further information and testing. Once the specialized support team resolves the request, the general support team will review the resolution to ensure quality control. Once the general support team confirms the resolution has met the customer’s needs, the request will be closed. Communication with the customer will be via email. If the customer does not reply within 3 business days, the ticket will be automatically closed.

**Prioritization** – all support requests will be given a medium priority unless the customer indicates an impact or urgency that requires a higher prioritization. Impact is defined as the affect to which a technology service or system is inhibiting the customer’s ability to conduct University business. Urgency is defined as the timeframe in which the customer needs the technology issues resolved or a workaround put in place.

WashU IT uses the following priority scale for systems and services not performing normally.

<table>
<thead>
<tr>
<th>Priority</th>
<th>Description</th>
<th>Response Target</th>
<th>Resolution Target</th>
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</table>
| Critical | Global Issues  
Business critical issues – impacting ability to perform mission  
Issues affecting multiple users unable to be productive | 15 minutes      | 4 hours          |
| High     | Issues affecting individual or multiple users with no workaround available   | 1 hour          | 1 Business Day   |
| Medium   | Default priority assigned to all tickets.  
Issues affecting multiple users with workaround available | 1 Business Day  | 3 Business Days  |
| Low      | Issues affecting individual users with workaround available                  | 2 Business Days | 5 Business Days  |
Service Request Fulfillment Targets

WashU IT Service Owners work with customers to establish service fulfillment targets for each service request that comprise the Service Features listed in this document.

The following table lists the service fulfillment target for each service request:

Note: There is a freeze on all enhancement work during Fiscal Year end beginning mid-June thru the 2nd week of July.

<table>
<thead>
<tr>
<th>Service Request</th>
<th>Fulfillment Target</th>
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<tbody>
<tr>
<td>Enhancement/Integration requests</td>
<td>Will be responded to within 2 business days to schedule a follow up meeting to gather requirements. All requests must be presented to the Functional Research Administration Group for prioritization or referral to the AIS Domain Governance Committee depending on the scope of the request.</td>
</tr>
<tr>
<td>Data Requests</td>
<td>All requests must come from a manager within the department.</td>
</tr>
<tr>
<td>Response</td>
<td>2 business days after receipt of the request.</td>
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<tr>
<td>Fulfillment</td>
<td>Data requests with a large scope will be escalated to the Functional Research Administrators Group (FRAG) for prioritization prior to any work being done. The FRAG Committee will be made aware of all requests for informational purposes.</td>
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<td></td>
<td>If approved by either the FRAG Committee or WUIT Management in charge of the Research Administration Systems support team for smaller scope requests, the data will be provided within 5 business days of approval.</td>
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<td>The FRAG Committee meets monthly on the 1ST Tuesday.</td>
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<td></td>
<td>Security of the requestor will be reviewed to ensure that they have the appropriate access to receive the requested data.</td>
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<td></td>
<td>All requests will additionally be forwarded along to the Business Intelligence Data Warehouse group for assessment of availability of the data within the Data Warehouse.</td>
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Service Availability
Available 24 hours a day, 7 days a week, with the following exceptions:

- Monday 4:00 am - 6:00 am
- Monday – Friday 9:00 pm - 9:30 pm
- Saturday 5:00 pm - Sunday 8:00 am

Service Reliability, Performance & Continuity

Service Reliability and Performance
The Research Administration Systems service has an expected uptime percentage of 100% during all times except those noted above under the Service Availability section. The service will handle up to 3000 concurrent users.

Service Continuity
Washington University IT will be responsible for providing a highly available environment to host the Research Administration Systems Service that will fail over to a secondary data center in the case of loss of service from the primary data center and will be fully functional with some exceptions noted below within 10 minutes. This loss of service could be caused by many different events such as power outage, fire, flood, tornado, and etc. In the case of an unplanned outage to the service, Washington University IT will maintain customer contacts initially within the first 30 minutes of the outage, and hourly updates after that.

The following Research Administration Services are currently not considered highly available and further planning and project work will need to be completed in order to obtain a 100% highly available environment if deemed a priority:

- Batch Processing – This is currently at a level in which up to a day may be needed in order to recover, and therefore, overnight processing may be delayed or skipped for one evening. This would affect the ability to run certain processes that execute periodically during the day as well. These impacted processes are noted below:
  - CITI Training completion load
  - Proposal Data loads to Focus
  - NID to Wustl Key mappings
- Effort Reporting (ePARS) – This Feature is not currently setup to be highly available and would require a full day to recover from loss of service at our primary data center.

Washington University is not responsible for providing work space for customers in a case where an event has affected the customer’s ability to access the Research Administration Systems Service.
Change Management and Service Reviews
WashU IT has established a change management and service review process to ensure changes and enhancements of services and systems are done in a controlled manner to prevent unintended consequences and to confirm that changes and updates are implemented according to an approved framework.

Change Management
The complete change management process is documented in the WashU IT Change Management Charter, but the following highlights from this charter are worth noting.

Changes and updates to systems and services fall into one of three general categories:
- Standard – changes and updates that are considered routine, well documented and of low risk to the University.
- Normal – changes and updates that require scheduled review and approval by the Change Advisory Board (CAB) to ensure mitigation of risk to the University.
- Emergency – changes and updates that cannot wait until the next scheduled CAB meeting for approval and must be reviewed by the CAB to address a CRITICAL incident or upgrade.

All non-standard changes will be communicated to customer according to established customer communication channels.

All customer requests for a non-standard change or upgrade to a WashU IT supported service or system must follow the WashU IT change management process.

General Maintenance Windows
Non-standard changes approved by the CAB will occur during the following maintenance windows:
- M – Sat: 6pm – 6am
- Sunday: Anytime of the Day

Regularly Scheduled Maintenance for Research Administration Systems
- Server patching will occur the 2nd Tuesday of each month between 9 pm and 11 pm and will result in applications being unavailable for varying periods of time during this window.
Roles and Responsibilities
The following roles and responsibilities between WashU IT and the customer are called out to highlight the important partnership that must exist between WashU IT as the service provider and WashU departments as the consumers of existing services and systems. Both parties play an important role in ensuring the overall health of services.

WashU IT Responsibilities

- Provide qualified support personnel to support WashU IT services and systems.
- Document specific features and warranties of each service provided by WashU IT.
- Produce metrics that demonstrate each service is healthy.
- Provide customers with appropriate communication and governance channels to effect change to WashU IT services and systems in a way that furthers the University’s mission without posing significant risks.

Customers Responsibilities

- Provide an ongoing point of contact within their department with which WashU IT can interface to ensure support and service requests are addressed in a timely manner.
- Make support and service requests as outlined in this document.
- Use WashU IT established communication and governance channels to request changes to existing services and systems.

Service Reporting & Metrics
WashU IT will provide the customer with a quarterly report that documents key support and service metrics. Customers may request additional metrics and reporting schedules by contacting their CRM representative.

Review and Revision Timeline
WashU IT SLEs will be reviewed each year during the month of April. Revisions to these documents will be distributed to all customers by May 1st of each year. Customer feedback regarding changes to the SLEs must be submitted to their CRM representative by June 1st of each year. After mutual agreement is reached, the final updated SLEs will be posted to http://it.wustl.edu/services by July 1st of each year.